

5000

Sec 38 #3

PTO/SB/21 (08-00)

Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL  
FORM**

Do not be used for all correspondence after initial filing)

Application Number 09/913,467

Filing Date Unassigned

First Named Inventor Sebald, Walter

Group Art Unit Unassigned

Examiner Name Unassigned

Total Number of Pages in This Submission

20

Attorney Docket Number 086033-000000US

**ENCLOSURES (check all that apply)**☒ Fee Transmittal Form☐ Fee Attached☐ Amendment / Response☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☐ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☒ Response to Missing Parts/  
Incomplete Application☐ Response to Missing  
Parts under 37 CFR  
1.52 or 1.53☐ Assignment Papers  
(for an Application)☐ Drawing(s)☐ Licensing-related Papers☐ Petition Routing Slip (PTO/SB/69)  
and Accompanying Petition☐ Petition to Convert to a  
Provisional Application☐ Power of Attorney, Revocation  
Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s)☐ After Allowance Communication to  
Group☐ Appeal Communication to Board of  
Appeals and Interferences☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s)  
(please identify below):

Return Postcard

Sequence Listing

Computer readable form of Sequence  
Listing

Supplemental ADS

Confirmation of Sequence Listing content

Remarks

The Commissioner is authorized to charge any additional fees to  
Deposit Account 20-1430.**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
and  
Individual name

Townsend and Townsend and Crew LLP

Joe Liebeschuetz

Reg. No. 37,505

Signature

Date

December 5, 2001

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: USPTO, PO Box 2327, Arlington, VA 22202 on this date:

December 5, 2001

Typed or printed name

Paula Faulk Hurley

Signature

Date

December 5, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PA 3188130 v1

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**FEE TRANSMITTAL**  
**for FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT (\$)** 130**Complete if Known**

Application Number	09/913,467
Filing Date	Unassigned
First Named Inventor	Sebald, Walter
Examiner Name	Unassigned
Group Art Unit	Unassigned
Attorney Docket No.	086033-000000US

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

20-1430

Deposit  
Account  
Name

Townsend and Townsend and Crew LLP

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17
- 
- ☐
- Applicant claims small entity status.
- 
- See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:**

☐ Check    ☐ Credit card    ☐ Money Order    ☐ Other
**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

**SUBTOTAL (1)**

(\$)

**2. EXTRA CLAIM FEES**

	Total Claims	Extra Claims	Fee from below	Fee Paid
Total Claims	20	-20**	\$18	\$0
Independent Claims	3	-3**	\$84	\$0
Multiple Dependent				

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**

(\$)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

The Commissioner is authorized to charge any additional fees to the above noted Deposit Account.

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

(\$130)

**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)

Joe Liebeschuetz

Registration No. (Attorney/Agent)

37,505

Telephone

650-326-2400

Signature

*J. Liebeschuetz*

Date

December 5, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. PA 3188131 v1

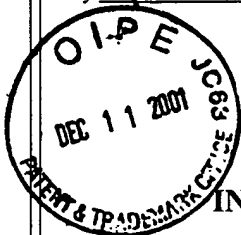
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

USPTO, PO Box 2327, Arlington, VA 22202

On December 5, 2001

TOWNSEND and TOWNSEND and CREW LLP

By: Paula Anne Hurley



**PATENT**  
Attorney Docket No.: 086033-000000US  
Client Reference No.: PA31187-019/WL

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Walter Sebald

Application No.: 09/913,467

Filed: Unassigned

For: POLYPEPTIDE VARIANTS WITH  
INCREASED HEPARIN-BINDING  
ABILITY

Examiner: Unassigned

Art Unit: Unassigned

TRANSMITTAL LETTER –  
RESPONSE TO NOTICE OF MISSING  
PARTS AND COMMUNICATION  
UNDER 37 C. F. R. § 1.821-1.825

Attn: Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

*Declaration & Power of Atty.*

11/10/2003 BCAMPBEL 00000004 201430 09913467

01 FC:1618

130.00 DA

Sir:

Pursuant to the Notice to File Missing Parts of Nonprovisional Application,  
dated October 11, 2001, enclosed are the following to be made of record in the above-  
identified application:

- 1) Executed Declaration and Power of Attorney
- 2) Supplemental ADS
- 3) Sequence Listing
- 4) Computer readable form of Sequence Listing
- 5) Confirmation of Sequence Listing content
- 6) Copy of Notice of Missing Parts

Please charge Deposit Account No. 20-1430 for the following fees:

~~02/28/2002 WCLAYBRO 00000014 201430~~

~~01 FC:154 130.00 CH~~

~~02/28/2002 WCLAYBRO 00000014 201430~~  
~~01 FC:154 130.00 CH~~

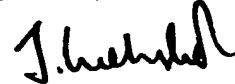
(a) Missing Parts Surcharge 130.00

**TOTAL FEES TO BE CHARGED** 130.00

The computer readable copy of the sequence listing on the enclosed disk is identical to that of the paper copy in submitted with the application.

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to Deposit Account No. 20-1430. This Transmittal Letter is submitted in duplicate.

Respectfully submitted,



Joe Liebeschuetz  
Reg. No. 37,505

**Customer No. 20350**

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: 650-326-2400  
Fax: 650-326-2422  
JOL:pfh

PA 3188140 v1

Adjustment date: 11/10/2003 BCAMPBEL  
02/28/2002 WCLAYBRO 00000014 201430 09913467

01 FC:154 130.00 CR

Adjustment Date: 11/10/2003 BCAMPBEL

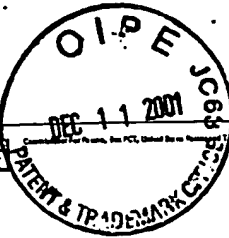
02/28/2002 WCLAYBRO 00000014 201430 09913467

01 FC:154 130.00 CR

Void date: 11/10/2003 BCAMPBEL

11/10/2003 BCAMPBEL 00000003 201430 09913467

01 FC:1617 130.00 CR

		
U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/913,467	Walter Sebald	086033-000000US
INTERNATIONAL APPLICATION NO.		
PCT/EP00/00637		
I.A. FILING DATE	PRIORITY DATE	
01/27/2000	02/03/1999	

Joe Liebeschuetz  
Townsend And Townsend and Crew  
Two Embarcadero Center Suite 800  
San Francisco, CA 94111-3834

*JOL*  
*086033 000000US*

CONFIRMATION NO. 2473

371 FORMALITIES LETTER



\*OC000000006864248\*

*Response Due*

*12-11-01*

*Docket*  
*PPA 12-11-01*

Date Mailed: 10/11/2001

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Biochemical Sequence Listing
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Preliminary Amendments
- Request for Immediate Examination

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months from the priority date (37 CFR 1.492(e)) is required.
- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason (s):
  - A copy of the "Sequence Listing" in computer readable form has not been submitted as required

by 37 CFR 1.821(e).

□ **APPLICANT MUST PROVIDE:**

- An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

○ For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

**SUMMARY OF FEES DUE:**

Total additional fees required for this application is **\$130** for a Large Entity:

- **\$130** Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

**BARBARA A CAMPBELL**

Telephone: (703) 305-3631

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/913,467	PCT/EP00/00637	086033-000000US

**U.S. Application No. 09/913,467**

**Title: "Polypeptide Variants with Increased Heparin-Binding Ability"**

**Applicant: Sebald, Walter**

**Date: November 21, 2001**

**Confirmation**

Herewith we confirm that the content of the sequence listing does not go beyond the content of the application as originally filed. We further confirm that the information contained on the disc is identical to that of the printed sequence listing.



(Franz-Joseph Zimmer)